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ATTORNEY DOCKET NO. 7190-D20

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: JAMES H. BENNETT ET AL.

Serial No. 10/052,973

Group No.: N/A

Filed: October 29, 2001

Examiner: Not Yet Assigned

For: "METHOD AND APPARATUS FOR APPLYING A COLORANT TO A  
THERMOPLASTIC TO PRODUCE A VISUAL EFFECT"

#2

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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

☒ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. 09/320,056, filed on May 26, 1999, now U.S. Patent No. 6,372,164, which is a continuation-in-part of Serial No. 08/975,020 filed on November 20, 1997, abandoned. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

All references previously listed are on attached Form PTO-1449.

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

**FOREIGN LANGUAGE DOCUMENTS**

- ☒ There are no foreign language documents listed on Form PTO-1449.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

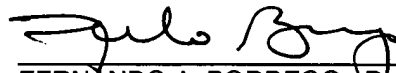
☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**

☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$180.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,



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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use Several Sheets if necessary)  (37 CFR 1.98(b))	ATTY. DOCKET NO. 7190-D20	SERIAL NO. 10/052,973
	APPLICANT JAMES H. BENNETT ET AL.	
	FILING DATE OCTOBER 29, 2001	GROUP ART UNIT N/A
	EXAMINER	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUB- CLASS	FILING DATE
	2,987,104	6-6-61	W.E. BENEDICT			
	3,015,356	1-2-62	H.J. WHITE ET AL.			
	3,105,322	10-63	KATZ			
	3,749,629	7-31-73	W.P. ANDREWS ET AL.			
	4,717,620	1-5-88	BOWEN ET AL.			
	4,810,733	3-7-89	SAKUMA ET AL.			
	4,833,197	5-23-89	SCHELHAAS ET AL.			
	4,919,872	4-24-90	FINTEL			
	4,921,414	5-1-90	SCHLIEHE ET AL.			
	5,154,870	10-13-92	URUI ET AL.			
	5,296,064	3-94	MUZZY ET AL.			
	5,407,988	4-95	GARY J. KOGOWSKI			

## FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

EXAMINE R INITIAL	DOCUMENT NUMBER	PUBLI- CATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUB- CLASS	TRANS- LATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of publication)

EXAMINER INITIAL			

EXAMINER	DATE CONSIDERED

Examiner: Initial citation considered. Draw a line though citation if not in conformance and not considered. Include copy of this form with next communication to the applicant

FORM 1449

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FORM PTO - 1449 (Modified)

U.S. DEPARTMENT OF COMMERCE  
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STATEMENT BY APPLICANT

(Use Several Sheets if necessary)

(37 CFR 1.98(b))

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUB- CLASS	FILING DATE
	5,462,709	10-31-95	SATJA ET AL.			
	4,496,630	3-5-96	HAWRYLKO ET AL.			
	5,510,398	4-23-96	CLARK ET AL.			
	5,560,797	10-1-96	BURT ET AL.			
	5,588,599	12-31-96	NOVAK			
	5,670,237	9-23-97	SHULTZ ET AL.			
	5,868,983	2-99	VOGL ET AL.			

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